

PTO/SB/21 (02-04)

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/813,354	
	Filing Date	March 29, 2004	
	First Named Inventor	John M. Adams	
	Art Unit	3738	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission		Attorney Docket Number	29912-704.301

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): return receipt postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

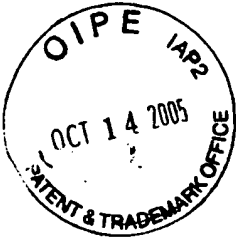
Firm or Individual name	Maya Skubatch, Reg. No. 52,505, WILSON SONSINI GOODRICH & ROSATI		
Signature			
Date	10-12-05		

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Attorney Docket No. 29912-704.301
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): John M. ADAMS, et al.

Serial Number: 10/813,354

Filing Date: March 29, 2004

Title: FOCUSED COMPRESSION MITRAL
VALVE DEVICE AND METHOD

Group Art Unit: 3738

Examiner: Not yet assigned

CONFIRMATION NO: 5007

Certificate of Mailing or Transmission
37 CFR §1.8

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Signature

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97

Sir:

Applicants hereby submit an Information Disclosure Statement along with attached form(s) PTO/SB/08A. A copy of each listed publication is being submitted, if required, pursuant to 37 C.F.R. §§1.97-1.98, as indicated below.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. Applicants further request that the Examiner initial and return the attached form(s) PTO/SB/08 in accordance with MPEP §609.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, prior art or material to patentability as defined in §1.56.

☒ 37 CFR §1.97(b). This Information Disclosure Statement should be considered by the Office because:

- ☐ (1) It is being filed within 3 months of the application filing date of a national application and is other than a continued prosecution application under §1.53(d);
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage as set forth in §1.491 in an international application;
-- OR --
- ☒ (3) It is being filed before the mailing date of the first Office Action on the merits;
-- OR --
- ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under §1.114.

☐ 37 CFR §1.97(c). Although this Information Disclosure Statement is being filed after the period specified in 37 CFR §1.97(b), above, it is filed before the mailing date of the earlier of (1) a final office action under §1.113, (2) a notice of allowance under §1.311, or (3) an action that otherwise closes prosecution on the merits, this Information Disclosure Statement should be considered because it is accompanied by one of:

- ☐ a certification as specified in §1.97(e) provided concurrently herewith;
-- OR --
- ☐ a fee of \$180.00 as set forth in §1.17(p) authorized below, enclosed, or included with the payment of other papers filed together with this statement.

☐ 37 CFR §1.97(d). Although this Information Disclosure Statement is being filed after the mailing date of the earlier of (1) a final office action under §1.113 or (2) a notice of allowance under §1.311, it is being filed before payment of the issue fee and should be considered because it is accompanied by:

- A. a certification as specified in §1.97(e); and
- B. a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this Statement.

☐ 37 CFR §1.97(e). A certification signed by an Attorney of Record is provided herewith as required under 37 CFR §§1.97(b) and (c).

☒ 37 CFR §1.98(a)(2). The content of the Information Disclosure Statement is as follows:

- ☐ Copies of each of the references listed on the attached Form PTO/SB/08A are enclosed herewith.
-- OR --
- ☒ Copies of U.S. Patent Documents (issued patents and patent publications) listed on the attached Form PTO/SB/08A are NOT enclosed.
-- AND/OR --
- ☒ Copies of Foreign Patent Documents and/or Non Patent Literature Documents listed on the attached Form PTO/SB/08A are enclosed in accordance with 37 CFR §1.98(a)(2).
-- AND/OR --
- ☐ Copies of pending unpublished U.S. patent applications are enclosed in accordance with 37 CFR §1.98(a)(2)(iii).

☒ 37 CFR §1.98(a)(3). The Information Disclosure Statement includes non-English patents and/or references.

☒ Pursuant to 37 CFR §1.98(a)(3)(i), a concise explanation of the relevance of each patent, publication or other information provided that is not in English is provided herewith.

EP 0893133 was published in German. The English language title, the claims and the drawings are sufficient to convey the scope of its disclosure.

Should the Examiner believe that a complete translation of the above mentioned publication is necessary to understand its disclosure, Applicant(s) will endeavor to provide such translation at the Examiner's request.

☐ Pursuant to 37 CFR §1.98(a)(3)(ii), a copy of a translation of the non-English language reference(s) is provided herewith

☐ Attached are copies of search report(s) from corresponding patent application(s), submitted in accordance with MPEP 609 D in support of the attached certification under 37 CFR §1.97(e)(1).

☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No. 29912-704.301).

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: 10-12-05

By: Maya Skubatch
Maya Skubatch, Reg. No.: 52,505

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Customer No. 021971

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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/813,354
				Filing Date	March 29, 2004
				First Named Inventor	John M. Adams
				Art Unit	3738
				Examiner Name	Not yet assigned
Sheet	1	of	6	Attorney Docket Number	29912-704.301

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-2001/0018611	08/30/2001	Solem et al.	
		US-2001/0044568	11/22/2001	Langberg et al.	
		US-2001/0049558	12/06/2002	Liddicoat et al.	
		US-2002/0016628	02/07/2002	Langberg et al.	
		US-2002/0042621	04/11/2002	Liddicoat et al.	
		US-2002/0042651	04/11/2002	Liddicoat et al.	
		US-2002/0049468	04/25/2002	Streeter et al.	
		US-2002/0055774	05/09/2002	Liddicoat	
		US-2002/0065554	05/30/2002	Streeter	
		US-2002/0087173	07/04/2002	Alferness et al.	
		US-2002/0095167	07/18/2002	Liddicoat et al.	
		US-2002/0103533	08/01/2002	Langberg et al.	
		US-2002/0138044	09/26/2002	Streeter et al.	
		US-2002/0151961	10/17/2002	Lashinski et al.	
		US-2002/0183837	12/05/2002	Streeter et al.	
		US-2002/0183838	12/05/2002	Liddicoat et al.	
		US-2002/0183841	12/05/2002	Cohn et al.	
		US-2003/0018358	01/23/2003	Saadat	
		US-2003/0069636	04/10/2003	Solem et al.	
		US-2003/0078465	04/24/2003	Pai et al.	
		US-2003/0078654	04/24/2003	Taylor et al.	
		US-2003/0088305	05/08/2003	Van Schie et al.	
		US-2003/0130730	07/10/2003	Cohn et al.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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				Filing Date	March 29, 2004
				First Named Inventor	John M. Adams
				Art Unit	3738
				Examiner Name	Not yet assigned
Sheet	2	of	6	Attorney Docket Number	29912-704.301

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-2004/0176840	09/09/2004	Jonathan J. Langberg	
		US-2004/0260342	12/23/2004	Vargas et al.	
		US-4,055,861	11/01/1977	Carpentier et al.	
		US-4,164,046	08/14/1979	Cooley	
		US-4,485,816	12/04/1984	Krumme	
		US-4,550,870	11/05/1985	Krumme et al.	
		US-4,588,395	05/13/1986	Lemelson	
		US-4,830,023	05/16/1989	de Toledo et al.	
		US-5,061,277	10/29/1991	Carpentier et al.	
		US-5,250,071	10/05/1993	Palermo	
		US-5,261,916	11/16/1993	Engelson	
		US-5,265,601	11/30/1993	Mehra	
		US-5,350,420	07/27/1994	Cosgrove et al.	
		US-5,474,557	12/12/1995	Mai	
		US-5,514,161	05/07/1996	Limousin	
		US-5,554,177	09/10/1996	Kieval et al.	
		US-5,562,698	10/08/1996	Parker	
		US-5,584,867	12/17/1996	Limousin et al.	
		US-5,601,600	02/11/1997	Ton	
		US-5,676,671	10/14/1997	Inoue	
		US-5,733,325	03/31/1998	Robinson et al	
		US-5,824,071	10/20/1998	Nelson et al.	
		US-5,891,193	04/06/1999	Robinson et al.	
		US-5,895,391	04/20/1999	Farnholtz	

Examiner Signature	Date Considered
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		Number-Kind Code ² (if known)			
		US-5,899,882	05/04/1999	Waksman et al.	
		US-5,908,404	06/01/1999	Elliot	
		US-5,928,258	07/27/1999	Khan et al.	
		US-5,935,161	08/10/1999	Robinson et al.	
		US-5,961,545	10/05/1999	Lentz et al.	
		US-5,984,944	11/16/1999	Forber	
		US-6,027,517	02/22/2000	Crocker et al.	
		US-6,077,295	06/20/2000	Limon et al.	
		US-6,077,297	06/20/2000	Robinson et al.	
		US-6,096,064	08/01/2000	Routh	
		US-6,099,549	08/08/2000	Bosma et al.	
		US-6,099,552	08/08/2000	Adams	
		US-6,129,755	10/10/2000	Mathis et al.	
		US-6,171,320	01/09/2001	Monassevitch	
		US-6,190,406	02/20/2001	Duerig et al.	
		US-6,210,432	04/03/2001	Solem et al.	
		US-6,275,730	08/14/2001	KenKnight et al.	
		US-6,342,067	01/29/2002	Mathis et al.	
		US-6,352,553	03/05/2002	van der Burg et al.	
		US-6,352,561	03/05/2002	Leopold et al.	
		US-6,358,195	03/19/2002	Green et al.	
		US-6,395,017	05/28/2002	Dwyer et al.	
		US-6,402,781	06/11/2002	Langberg et al.	
		US-6,419,696	07/16/2002	Ortiz et al.	

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U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-6,442,427	08/27/2002	Boute et al.	
		US-6,503,271	01/07/2003	Duerig et al.	
		US-6,537,314	03/25/2003	Langberg et al.	
		US-6,565,221	12/02/2003	Taylor et al.	
		US-6,569,198	05/27/2003	Wilson et al.	
		US-6,589,208	07/08/2003	Ewers et al.	
		US-6,602,288	08/05/2003	Cosgrove et al.	
		US-6,602,289	08/05/2003	Colvin et al.	
		US-6,623,521	09/23/2003	Steinke et al.	
		US-6,626,899	03/21/2002	Houser et al.	
		US-6,656,221	12/02/2003	Taylor et al.	
		US-6,676,702	01/13/2004	Mathis	
		US-6,716,158	04/06/2004	Raman et al.	
		US-6,718,985	04/13/2004	Hlavka et al.	
		US-6,723,038	04/20/2004	Schroeder et al.	
		US-6,776,784	08/17/2004	Ginn	
		US-6,790,231	09/14/2004	Liddicoat et al.	
		US-6,800,090	11/14/2002	Alfermess et al.	
		US-6,810,882	11/02/2004	Langberg et al.	

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		Country Code ² - Number ³ - Kind Code ⁴ (if known)				
		EP0893133	01/27/1999	Medex		✓
		EP1050274-A1	11/08/2000	Medical Industries Corporation		
		EP1095634-A2	05/02/2001	Cordis Corporation		
		GB0741604	12/07/1955	S. & R. J. Everett & Company		
		WO 98/056435-A1	12/17/1998	Micro Therapeutics, Inc.		
		WO 00/044313-A1	08/03/2000	Viacor, Inc.		
		WO 00/060995-A3	10/19/2000	Evalve, Inc.		
		WO 01/000111-A1	01/04/2001	Solem et al.		
		WO 01/050985-A1	07/19/2001	Viacor, Inc.		
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				Application Number	10/813,354
				Filing Date	March 29, 2004
				First Named Inventor	John M. Adams
				Art Unit	3738
				Examiner Name	Not yet assigned
Sheet	6	of	6	Attorney Docket Number	29912-704.301

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